

APPENDIX: PASE FORMS

The PASE forms presented here are in a standardized format. Agencies may customize these forms with ADOA approval. These instructions will serve as a guide for raters to the completion and use of both standardized and custom formats.

CHECKLIST PERFORMANCE STANDARDS FORMS

The checklist performance standards forms may be either standardized or customized. The standardized forms have designated performance standard elements for the performance category recorded on the form. The performance standard elements on the customized form are blank. The checklist form may be used for any job classification. The checklist is especially suitable for measuring performance of technical, trades, law enforcement, clerical or customer service jobs. Standardized Checklist Performance Standards forms are available for:

- Work Habits
- Clerical/Administrative Support
- Customer Service
- Supervision

Instructions:

1. For each Performance Category selected, complete information to identify the employee and the rating period.
2. Select the Performance Standard Elements within each Category that will be used to evaluate job performance. If all elements will be considered on an equal basis, check the "Weight" column (W); if the elements carry different weights, select by indicating the percent of weight in the "Weight" (W) column (e.g. 5%, 25%, etc.). The sum of this column must total 100%.
3. Note the method to be used for verifying the level of performance. Practical methods include personal observation, feedback, agency data reports, specific requirements set in rule or statute, etc.
4. Submit to Reviewer. Reviewer will evaluate the selections to ensure that the category and element selections represent the critical or major part of the job during the rating period and that the verification methods are appropriate.
5. After Reviewer approval, the Rater advises the Employee of the performance plan information. The Employee signs the Performance Plan acknowledgement.
6. Mid-period reviews are required for Original Probationary (OP) employees. Mid-period reviews are optional for Permanent Status (PS) [this includes Promotional Probationary (PP) employees and employees on Detail to Special Duty (CD and ND)]. A PASE Performance Appraisal Score Form is not completed for a mid-period review. Record mid-period discussion items in the comment section. Submit to the reviewer for evaluation and then advise the employee of the status of job performance achievement. Request the employee to sign the mid-period discussion acknowledgement.
7. At the end of the rating period, record the rating to reflect the level of job performance earned by the Employee during the rating period. Calculate the weighted rating for each performance standard element.
8. Calculate the Performance Category Rating by adding the weighted ratings. Transfer this Rating to the PASE Performance Appraisal Score form.
9. Submit all information to the Reviewer for evaluation.
10. After Reviewer approval, advise the Employee of the earned ratings. The employee signs the Performance Appraisal acknowledgement, then the Rater, and lastly, the Reviewer.

CHECKLIST PERFORMANCE STANDARDS FORM

NAME: _____	RATING PERIOD: _____ to _____
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PERFORMANCE CATEGORY NO. _____: WORK HABITS	CATEGORY WEIGHT:
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Five-Point Rating Scale:

- 5 = Exceptional**
- 4 = Exceeds Expectations**
- 3 = Meets Expectations**
- 2 = Below Expectations**
- 1 = Unacceptable**

- D = Mid-Period Discussion** (No Rating; place a check "√" in box if Mid-Period Discussion was held)
- W = Weight** (Weight, or, if all elements are weighted equally, check all that apply)
- R = Rating** (1 through 5; whole numbers only)
- WR = Weighted Rating** (Weight X Rating; rounded to 2 decimal places)

Performance Category Elements:	Verification Method	D	W	R	WR
1) Reports to work area by designated time. Does not leave until designated time.					
2) Appropriately plans and organizes activities.					
3) Completes assignments on time.					
4) Completes assignments accurately and thoroughly.					
5) Accepts responsibility.					
6) Uses state resources and/or materials efficiently.					
7) Adapts to changing priorities.					
8) Manages time effectively.					
9) Produces expected level of work.					
10) Follows safety and security procedures.					
11) Arrives to meetings on time.					
12) Follows through on commitments.					
13) Is self-motivated. Takes initiative.					
14) Is effective in group/team meetings.					
15) Acts cooperatively.					
16) Demonstrates creativity and innovation.					
17) Is flexible. Adjusts to changing situations.					
18) Keeps appropriate employees informed regarding whereabouts.					
19) Exercises appropriate judgment.					
20) Maintains good attendance.					
21) Complies with agency/area policy regarding breaks (e.g. lunch/coffee breaks).					
22) Interacts appropriately with co-workers					

Calculate the Category Rating (rounded to 2 decimal places) by using one of the following methods:

Category Rating _____

- (1) If weights were assigned and a Weighted Rating calculated for each element, total the Weighted Rating (WR) column; or,
 (2) If all elements are weighted equally and weights were not assigned, total the Rating (R) column and divide by the number of elements rated.

Performance Plan Employee acknowledgement: _____	Date: _____
Mid-period Discussion Employee acknowledgement: _____	Date: _____
Performance Appraisal Employee acknowledgement: _____	Date: _____

Name of Rater _____	Signature _____	Date: _____
Relationship of Rater <input type="checkbox"/> Supervisor <input type="checkbox"/> Self <input type="checkbox"/> Peer/Team Member <input type="checkbox"/> Subordinate <input type="checkbox"/> Other (specify) _____		

NAME:	RATING PERIOD:	to
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PERFORMANCE CATEGORY NO. _____: WORK HABITS	CATEGORY WEIGHT:
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RATER COMMENTS:

EMPLOYEE COMMENTS:

CHECKLIST PERFORMANCE STANDARDS FORM

NAME: _____	RATING PERIOD: _____ to _____
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PERFORMANCE CATEGORY NO. _____: CLERICAL/ADMINISTRATIVE SUPPORT	CATEGORY WEIGHT: _____
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Five-Point Rating Scale:

- 5 = Exceptional**
4 = Exceeds Expectations
3 = Meets Expectations
2 = Below Expectations
1 = Unacceptable

- D = Mid-Period Discussion** (No Rating; place a check “√” in box if Mid-Period Discussion was held)
W = Weight (Weight, or, if all elements are weighted equally, check all that apply)
R = Rating (1 through 5; whole numbers only)
WR = Weighted Rating (Weight X Rating; rounded to 2 decimal places)

Performance Category Elements:	Verification Method	D	W	R	WR
1) Completes typing of data input timely and within acceptable error levels.					
2) Answers and directs phone calls appropriately.					
3) Maintains supplies in orderly fashion and/or to appropriate levels.					
4) Maintains equipment in working order. Follows appropriate prevention/maintenance procedures					
5) Follows appropriate procedures for purchasing and/or ordering printing.					
6) Follows appropriate procedures for reporting employee leave.					
7) Follows appropriate procedures for tracking capital assets.					
8) Maintains paper files and records in orderly fashion.					
9) Maintains computer files and records appropriately.					
10) Observes confidentiality requirements.					
11) Completes copy requests timely and within acceptable error levels.					
12) Opens and routes mail appropriately.					
13) Coordinates use of conference rooms appropriately.					
14) Maintains calendars or schedules appropriately.					
15) Greets and directs customers/visitors appropriately.					
16) Demonstrates and maintains the necessary level of knowledge/skills.					
17) Observes required formats for correspondence and/or reports..					
18) Participates in personal growth and improvement.					
19) Works toward continual improvement of work process. Makes constructive suggestions.					
20) Operates equipment with appropriate degree of proficiency.					
21)					
22)					

Calculate the Category Rating (rounded to 2 decimal places) by using one of the following methods:

Category Rating _____

- (1) If weights were assigned and a Weighted Rating calculated for each element, total the Weighted Rating (WR) column; or,
 (2) If all elements are weighted equally and weights were not assigned, total the Rating (R) column and divide by the number of elements rated.

Performance Plan Employee acknowledgement: _____	Date: _____
Mid-period Discussion Employee acknowledgement: _____	Date: _____
Performance Appraisal Employee acknowledgement: _____	Date: _____

Name of Rater _____	Signature _____	Date: _____
Relationship of Rater <input type="checkbox"/> Supervisor <input type="checkbox"/> Self <input type="checkbox"/> Peer/Team Member <input type="checkbox"/> Subordinate Other (specify) _____		

NAME:	RATING PERIOD:	to
PERFORMANCE CATEGORY NO. _____: CLERICAL/ADMINISTRATIVE SUPPORT		CATEGORY WEIGHT:

RATER COMMENTS:

EMPLOYEE COMMENTS:

CHECKLIST PERFORMANCE STANDARDS FORM

NAME: _____	RATING PERIOD: _____ to _____
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PERFORMANCE CATEGORY NO. _____ : CUSTOMER SERVICE	CATEGORY WEIGHT: _____
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Five-Point Rating Scale:

- 5 = Exceptional**
4 = Exceeds Expectations
3 = Meets Expectations
2 = Below Expectations
1 = Unacceptable

- D = Mid-Period Discussion** (No Rating; place a check "√" in box if Mid-Period Discussion was held)
W = Weight (Weight, or, if all elements are weighted equally, check all that apply)
R = Rating (1 through 5; whole numbers only)
WR = Weighted Rating (Weight X Rating; rounded to 2 decimal places)

Performance Category Elements:	Verification Method	D	W	R	WR
1) Treats customers with courtesy and respect.					
2) Makes an effort to be in touch with customer needs and satisfaction levels.					
3) Takes responsibility for ensuring the customer is served.					
4) Ensures the customer is given accurate information.					
5) Keeps commitments to customers.					
6) Provides timely service to customers.					
7) Takes customers' needs into consideration when developing plans or systems.					
8) Presents a professional image to customers in attire and maintenance of workspace.					
9) Continually improves job skills to increase the quality of customer service.					
10) Continually seeks improvements to work processes to enhance customer service.					
11) Contributes to providing recognition for quality customer service.					
12) Models, trains, and coaches others to reinforce commitment to customer service.					
13) Keeps commitments to others to enable them to provide quality customer service.					
14)					
15)					
16)					
17)					
18)					
19)					
20)					
21)					
22)					

Calculate the Category Rating (rounded to 2 decimal places) by using one of the following methods:

Category Rating _____

(3) If weights were assigned and a Weighted Rating calculated for each element, total the Weighted Rating (WR) column; or,

(4) If all elements are weighted equally and weights were not assigned, total the Rating (R) column and divide by the number of elements rated.

Performance Plan Employee acknowledgement: _____	Date: _____
Mid-period Discussion Employee acknowledgement: _____	Date: _____
Performance Appraisal Employee acknowledgement: _____	Date: _____

Name of Rater _____	Signature _____	Date: _____
Relationship of Rater <input type="checkbox"/> Supervisor <input type="checkbox"/> Self <input type="checkbox"/> Peer/Team Member <input type="checkbox"/> Subordinate Other (specify) _____		

CHECKLIST PERFORMANCE STANDARDS FORM

NAME: _____	RATING PERIOD: _____ to _____
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PERFORMANCE CATEGORY NO. _____ : SUPERVISION	CATEGORY WEIGHT: _____
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Five-Point Rating Scale:

- 5 = Exceptional**
4 = Exceeds Expectations
3 = Meets Expectations
2 = Below Expectations
1 = Unacceptable

- D = Mid-Period Discussion** (No Rating; place a check "√" in box if Mid-Period Discussion was held)
W = Weight (Weight, or, if all elements are weighted equally, check all that apply)
R = Rating (1 through 5; whole numbers only)
WR = Weighted Rating (Weight X Rating; rounded to 2 decimal places)

Performance Category Elements:	Verification Method	D	W	R	WR
1) Follows appropriate procedures for all personnel actions including performance planning and appraisals; AA/EEO; and hiring, disciplining, promoting, and terminating employees.					
2) Provides timely performance feedback.					
3) Develops functional plans.					
4) Keeps work flow moving at the appropriate level to meet objectives.					
5) Assigns work equitably.					
6) Promotes teamwork.					
7) Provides the appropriate level of supervision to subordinates.					
8) Ensures staff have the appropriate training for the job.					
9) Contributes positively to employee morale.					
10) Ensures safe and healthy work conditions for subordinates.					
11) Exercises appropriate judgment.					
12) Communicates and supports management's philosophy to subordinates.					
13) Promotes cooperation with other areas of the agency.					
14) Engages subordinates in problem solving and decision making.					
15) Displays appropriate analytical skills.					
16) Models professionalism, personal accountability, ethical conduct, and concern for quality to subordinates.					
17) Manages resources effectively.					
18) Promotes creativity and constructive risk-taking.					
19) Adapts to and manages change effectively.					
20) Leads group/team meeting effectively.					
21) Accepts responsibility. Displays personal ownership.					
22) Facilitates the flow of information to all appropriate parties.					

Calculate the Category Rating (rounded to 2 decimal places) by using one of the following methods:

Category Rating _____

- (1) If weights were assigned and a Weighted Rating calculated for each element, total the Weighted Rating (WR) column; or,
 (2) If all elements are weighted equally and weights were not assigned, total the Rating (R) column and divide by the number of elements rated.

Performance Plan Employee acknowledgement: _____	Date: _____
Mid-period Discussion Employee acknowledgement: _____	Date: _____
Performance Appraisal Employee acknowledgement: _____	Date: _____

Name of Rater _____	Signature _____	Date: _____
Relationship of Rater <input type="checkbox"/> Supervisor <input type="checkbox"/> Self <input type="checkbox"/> Peer/Team Member <input type="checkbox"/> Subordinate <input type="checkbox"/> Other (specify) _____		

CUSTOMIZED PASE CHECKLIST PERFORMANCE STANDARDS FORM - FORMAT

NAME:	RATING PERIOD:	to
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PERFORMANCE CATEGORY NO. _____:	CATEGORY WEIGHT:
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Five-Point Rating Scale:

- 5 = Exceptional
4 = Exceeds Expectations
3 = Meets Expectations
2 = Below Expectations
1 = Unacceptable

D = Mid-Period Discussion (No Rating; place a check
“√” in box if Mid-Period Discussion was held)

W = Weight (Weight, or, if all elements are weighted equally, check all that apply)

R = Rating (1 through 5; whole numbers only)

WR = Weighted Rating (Weight X Rating; rounded to 2 decimal places)

[illegible]

Calculate the Category Rating (rounded to 2 decimal places) by using one of the following methods:

Category Rating _____

- (1) If weights were assigned and a Weighted Rating calculated for each element, total the Weighted Rating (WR) column; or,
- (2) If all elements are weighted equally and weights were not assigned, total the Rating (R) column and divide by the number of elements rated.

Performance Plan Employee acknowledgement: _____	Date: _____
Mid-period Discussion Employee acknowledgement: _____	Date: _____
Performance Appraisal Employee acknowledgement: _____	Date: _____

Name of Rater _____ Signature _____ Date: _____
Relationship of Rater ☐ Supervisor ☐ Self ☐ Peer/Team Member ☐ Subordinate Other (specify) _____

NAME:	RATING PERIOD:	to
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PERFORMANCE CATEGORY NO. _____:	CATEGORY WEIGHT:
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RATER COMMENTS:

EMPLOYEE COMMENTS:

GOALS AND OBJECTIVES PERFORMANCE STANDARDS FORM

The Goals and Objectives Performance Standards Form may be used alone or in combination with the Checklist Performance Standards Form for any job classification. The goals and objectives format is especially suitable for measuring performance of administrative, professional, supervisory or managerial jobs.

Instructions:

1. Complete information to identify the employee and the rating period.
2. Record descriptions of performance expectations in quantifiable or verifiable terms in the performance standard definition section of the form. Explain and distinguish between performance levels: "Exceptional," "Exceeds Expectations," "Meets Expectations," "Below Expectations," and "Unacceptable."
3. Enter the weight given to the Performance Category by indicating the percent of weight (e.g. 5%, 25%, etc.). The sum of this column should total 100%.
4. Note the method to be used for verifying the level of performance. Practical methods include personal observation, agency data reports, specific requirements set in rule or statute, etc.
5. The reviewer then evaluates the performance standard definitions to ensure that the definition selection represents the critical or major part of the job during the rating period and that the verification method is appropriate.
6. After reviewer approval, advise the employee of the performance plan information. Request the employee to sign and date the acknowledgement portion of the form.
7. Mid-period reviews are required for Original Probationary (OP) employees. Mid-period reviews are optional for Permanent Status (PS) [this includes Promotional Probationary (PP) employees and employees on Detail to Special Duty (CD and ND)]. A PASE Performance Appraisal Score Form is not completed for a mid-period review. Record mid-period discussion items in the comment section. Submit to the reviewer for evaluation and then advise the employee of the status of job performance achievement. Request the employee to sign the mid-period discussion acknowledgement.
8. At the end of the rating period, record the rating to reflect the level of job performance earned by the employee during the rating period.
9. Calculate the Performance Category Rating by adding the weighted ratings. Transfer this Rating to the PASE Performance Appraisal Score form.
10. Submit all information to the Reviewer for evaluation.
11. After Reviewer approval, advise the Employee of the earned ratings. The employee signs the Performance Appraisal acknowledgement, then the Rater, and lastly, the Reviewer.

PASE GOALS AND OBJECTIVES PERFORMANCE STANDARDS FORM

EMPLOYEE NAME:	RATING PERIOD: to
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AGENCY MISSION (Optional):

DIVISION/SECTION MISSION (Optional):

PERFORMANCE CATEGORY:	CATEGORY WEIGHT:	CATEGORY RATING:
PERFORMANCE STANDARD ELEMENTS:		

VERIFICATION METHOD(S):	
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Performance Plan Employee acknowledgement: _____	Date: _____
Mid-period Discussion Employee acknowledgement: _____	Date: _____
Performance Appraisal Employee acknowledgement: _____	Date: _____

Name of Rater _____ Signature _____ Date: _____
Relationship of Rater ☐ Supervisor ☐ Self ☐ Peer/Team Member ☐ Subordinate Other (specify) _____

UNIVERSAL PERFORMANCE APPRAISAL SCORE FORM

Instructions:

The rater completes the PASE Performance Appraisal Score Form during the month prior to the end of the rating period.

1. Complete demographic information to identify the Employee and the type of appraisal being completed.
2. Transfer categories, category weights, and category ratings from the Performance Standards Form for each Performance Category to the PASE Performance Appraisal Score Form. An overall rating is then calculated by either averaging these scores, if all Categories are weighted equally, or using a Weighted Average if Categories have different weights.
3. Submit to the Reviewer for evaluation of the ratings and supporting documentation to ensure compliance with timelines and procedures, that documentation is appropriate, and that ratings have been applied equitably between employees.
4. After Reviewer approval, advise the Employee of the appraisal information.
5. The Employee signs the PASE Performance Appraisal Score Form acknowledging that the appraisal discussion and meeting has been held, then the Supervisor signs, and lastly the Reviewer.
6. Forward the Performance Standards Forms and PASE Performance Appraisal Score Form to the Human Resources or Personnel Office for retention in the employee's personnel file records.

STATE OF ARIZONA UNIVERSAL PERFORMANCE APPRAISAL SCORE FORM

EMPLOYEE NAME:	RATING PERIOD: _____ to _____
SSN:	EMPLOYEE POSITION NUMBER:
AGENCY:	EMPLOYEE CLASSIFICATION:
DIVISION:	SUPERVISOR NAME:
SECTION/UNIT:	REVIEWER NAME:
Grant Permanent Status (Check one): <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/> Extend Probation (contact Human Resources/Personnel Representative)	APPRAISAL TYPE (Check one): <input type="checkbox"/> Annual <input type="checkbox"/> End of Probation <input type="checkbox"/> Close-out <input type="checkbox"/> Other _____

Enter Categories, Category Weights and Ratings from the applicable Performance Standards Forms:

(If multiple raters are used, use the Multi-Rater Score Worksheet before filling out this sheet)

Category		Category		Weighted
Weight	X	Rating*	=	Rating

Responsibility/ Category #1:			
Responsibility/ Category #2:			
Responsibility/ Category #3:			
Responsibility/ Category #4:			
Responsibility/ Category #5:			
Responsibility/ Category #6:			
Responsibility/ Category #7:			
Responsibility/ Category #8:			
Responsibility/ Category #9:			
Responsibility/ Category #10:			
RATING PERIOD SCORE**:	100%		

***Ratings have been transferred from the appropriate Performance Standards Forms and are based on Five-Point Rating Scale, as follows:**

5 = Exceptional 4 = Exceeds Expectations 3 = Meets Expectations 2 = Below Expectations 1 = Unacceptable

****Calculate the Rating Period Score (rounded to 2 decimal places) by using one of the following methods:**

- (1) If weights were assigned and a Weighted Rating calculated for each Category, total the Weighted Rating column; or,
- (2) If all Categories are weighted equally and weights were not assigned, total the Category Rating column and divide by the number of Categories rated

EMPLOYEE COMMENTS: (USE ATTACHMENT IF NECESSARY)

I hereby certify that I have had an opportunity to review this form and related documentation and understand that I am to receive a copy. I am aware that my signature does not necessarily mean that I agree with the rating. I am aware that I have the right to grieve the appraisal and that time restrictions apply. I may request a copy of the grievance procedures from my supervisor or the agency/division Human Resources/Personnel representative.

€ Agree € Disagree € I intend to submit a grievance on this evaluation (See agency policy for time restrictions and Responding Authority).

EMPLOYEE SIGNATURE _____ **DATE** _____

RATER SIGNATURE _____ **DATE** _____

REVIEWER SIGNATURE _____ **DATE** _____

PROFESSIONAL DEVELOPMENT PLAN

This form may be used at any time during the rating period. Either the rater or the employee may initiate the plan. It is a tool to identify realistic goals for employee's career development. The professional development plan is not to be used as a consideration for rating purposes in the PASE evaluation.

PROFESSIONAL DEVELOPMENT PLAN

LIMITATIONS: THIS DOCUMENT IS TO BE USED AS A TOOL TO IDENTIFY REALISTIC GOALS FOR EMPLOYEE DEVELOPMENT; IT IS NOT TO BE CONSTRUED AS A CONTRACT BETWEEN THE AGENCY AND THE EMPLOYEE.

EMPLOYEE NAME:	SUPERVISOR-RATER/REVIEWER:	DISCUSSION DATE:
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DEVELOPMENTAL GOAL(S):

DETAILED DEVELOPMENT PLAN

LIST THE SKILLS/KNOWLEDGE NEEDED TO ACHIEVE THE GOAL(S):

LIST THE COLLEGE COURSES, TRAINING, JOB ASSIGNMENTS, MENTORING, READING ASSIGNMENTS, OR ACTIVITIES NEEDED TO ACHIEVE THE GOAL(S)

**TARGET DATE
(IF APPLICABLE)**

NOTICE OF NECESSITY TO IMPROVE

This form is used to communicate that job performance must improve. **The Rater may issue it at any time during the rating period if job performance falls below expectations.**

Instructions:

1. Record the specific areas in which improvement is needed and the action steps and time frames in which performance is expected to improve. This establishes a plan of action to achieve standard performance levels.
2. Obtain the Reviewer's approval.
3. Discuss the Notice of Necessity to Improve with the Employee.
4. The Employee signs the notice acknowledging that performance expectations have been reviewed.
5. Continue to advise, support and evaluate performance if expectations were met within the established time frames.
6. Consult with the agency Human Resources/Personnel Office if expectations were not met within the established time frames to determine the best course of action.

NOTICE OF NECESSITY TO IMPROVE (NNI)

If expectations are not met as outlined below, your performance issues will be addressed through the formal disciplinary process.

EMPLOYEE'S NAME		SOCIAL SECURITY NUMBER	
DIVISION/SECTION	JOB TITLE	NNI START DATE	NNI END DATE

THE SPECIFIC AREAS OF NECESSARY IMPROVEMENT, ACTION STEPS AND TIME FRAMES TO ACHIEVE EXPECTATIONS ARE AS FOLLOWS (attach additional pages if needed):

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and extend across the width of the page. There are no margins, text, or other markings on the paper.

(1) EMPLOYEE'S SIGNATURE	DATE
(1) RATER'S SIGNATURE	DATE

TO BE COMPLETED BY THE RATER AT THE END OF THE NNI PERIOD:

THE EMPLOYEE: € Met expectations € Did not meet expectations

If any performance problems arise within the next twelve months, the Employee will receive a Close-out evaluation and the appropriate level of discipline will be imposed.

(2) EMPLOYEE'S SIGNATURE	DATE
(2) RATER'S SIGNATURE	DATE

INSTRUCTIONS AND DISTRIBUTION:

- (1) Both the Rater and Employee sign and date the form to acknowledge a conference was held and a copy is given to the Employee. The original NNI form stays with the Rater in the Employee's supervisory file.
- (2) At the end of the NNI period, after the Rater and Employee have met to discuss the performance results and signed the form, the Employee receives a copy of the completed form. The completed NNI form will be retained by the Rater for a period of 12 months.

